

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:	)	Group Art Unit: 3746
	)	
DONNELLY, Frank Wegner	)	Confirmation No.: 4130
	)	
Serial No.: 10/533,402	)	Examiner: Not yet assigned
	)	
Filed: December 6, 2005	)	<u>SUPPLEMENTAL INFORMATION</u>
	)	<u>DISCLOSURE STATEMENT</u>
Atty. File No.: 5107-15	)	
	)	Electronically Submitted
For: "DIRECT TURBOGENERATOR"	)	

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The references cited on attached Form PTO-SB08 are being called to the attention of the Examiner.

- ☒ Copies of the cited non-patent and/or foreign references are enclosed herewith.
- ☐ Copies of the cited U.S. patents and/or patent applications are enclosed herewith.
- ☒ Copies of the cited U.S. patents/patent application publications are not enclosed in accordance with 37 C.F.R. § 1.98(a).

☐ Copies of the cited references are not enclosed, in accordance with 37 C.F.R. § 1.98(d), because the references were cited by or submitted to the U.S. Patent and Trademark Office in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

☐ To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

- ☒ Examiner's attention is drawn to the following co-pending applications:

Serial No. 11/131917 filed 05-17-05

Serial No. 11/131930 filed 05-17-05

Serial No. 11/143252 filed 06-01-05

Serial No. 11/411986 filed 04-25-06

Serial No. 11/411987 filed 04-25-06

Serial No. 11/412071 filed 04-25-06

Serial No. 11/468235 filed 08-29-06

Serial No. 11/551038 filed 10-19-06

- ☐ Other: \_\_\_\_\_

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

### FEEs

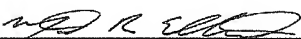
<input checked="" type="checkbox"/>	<p><b>37 CFR 1.97(b):</b> No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith satisfies one of the following conditions ("X" indicates satisfaction):</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or</li><li><input type="checkbox"/> Within three months of the date of entry into the national stage of an international application as set forth in 37 CFR 1.491 or</li><li><input checked="" type="checkbox"/> Before the mailing date of a first Office Action on the merits, or</li><li><input type="checkbox"/> Before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114.</li></ul> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p>
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<input type="checkbox"/>	<p><b>37 CFR 1.97(c):</b> The information disclosure statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions:</p> <p style="margin-left: 40px;">(1) a final action under 37 C.F.R. 1.113 or  (2) a notice of allowance under 37 C.F.R. 1.311, or  (3) an action that otherwise closes prosecution in the application.</p> <p>This Information Disclosure Statement is accompanied by:</p> <p style="margin-left: 40px;"><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p> <p style="text-align: center;">OR</p> <p style="margin-left: 40px;"><input type="checkbox"/> Please charge Deposit Account 19-1970 in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account 19-1970.</p>
<input type="checkbox"/>	<p><b>37 CFR 1.97(d):</b> This Information Disclosure Statement is being submitted after the period specified in 37 CFR 1.97(c).</p> <p style="margin-left: 40px;"><input type="checkbox"/> This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e) AND</p> <p style="margin-left: 40px;"><input type="checkbox"/> Applicants hereby requests consideration of the reference(s) disclosed herein. Please charge Deposit Account 19-1970 in the amount of \$180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</p>

<p><b>Certification (37 C.F.R. 1.97(e))</b>  (Applicable only if checked)</p> <p><input type="checkbox"/> The undersigned certifies that:</p> <p style="margin-left: 40px;"><input type="checkbox"/> Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).</p> <p style="margin-left: 40px;"><input type="checkbox"/> A copy of the communication from the foreign patent office is enclosed.</p> <p style="text-align: center;">OR</p> <p style="margin-left: 40px;"><input type="checkbox"/> No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).</p>
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Respectfully submitted,

SHERIDAN ROSS P.C.

By:   
Matthew R. Ellsworth  
Registration No. 56,345  
1560 Broadway, Suite 1200  
Denver, Colorado 80202-5141  
(303) 863-9700

Date: January 15, 2007

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/533,402
				Filing Date	12-06-05
				First Named Inventor	Donnelly
				Art Unit	3746
				Examiner Name	Not yet assigned
Sheet	1	of	3	Attorney Docket Number	5107-15

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-kind Code <sup>2 (if known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	744,187	11/17/1903	Gibbs	
	2	2,704,813	3/22/1955	Stamm	
	3	3,919,948	11/18/1975	Kademann	
	4	4,284,936	8/18/1981	Bailey et al.	
	5	4,498,016	2/5/1985	Earleson et al.	
	6	4,700,283	10/13/1987	Tsutsui, et al.	
	7	4,719,861	1/19/1988	Savage et al.	
	8	4,896,090	1/23/1990	Balch, et al.	
	9	5,306,972	4/26/1994	Hokanson et al.	
	10	5,331,261	7/19/1994	Brown et al.	
	11	5,343,970	9/6/1994	Severinsky	
	12	5,376,868	12/27/1994	Toyoda et al.	
	13	5,424,948	6/13/1995	Jorday, Jr.	
	14	5,436,540	7/25/1995	Kumar	
	15	5,508,924	4/16/1996	Yamashita	
	16	5,629,596	5/13/1997	Iijima et al.	
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	18	5,677,610	10/14/1997	Tanamachi et al.	
	19	5,710,699	1/20/1998	King et al.	
	20	5,856,037	1/5/1999	Casale et al.	
	21	5,898,281	4/27/1999	Bossoney et al.	
	22	6,025,086	2/15/2000	Ching	
	23	6,082,834	7/4/2000	Kolbe et al.	
	24	6,218,807	4/17/2001	Sakaue et al.	
	25	6,274,998	8/14/2001	Kaneko et al.	
	26	6,359,346	3/19/2002	Kumar	
	27	6,371,573	4/16/2002	Goebels et al.	
	28	6,405,705	6/18/2002	Dunsworth et al.	
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	30	6,421,618	7/16/2002	Kliman et al.	
	31	6,456,908	9/24/2002	Kumar	
	32	6,486,568	11/26/2002	King et al.	
	33	6,497,182	12/24/2002	Melpolder et al.	
	34	6,532,405	3/11/2003	Kumar et al.	
	35	6,537,694	3/25/2003	Sagiura et al.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
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				First Named Inventor	Donnelly
				Art Unit	3746
				Examiner Name	Not yet assigned
Sheet	2	of	3	Attorney Docket Number	5107-15

	36	6,564,172	5/13/2003	Till	
	37	6,581,464	1/24/2003	Anderson et al.	
	38	6,611,116	8/26/2003	Bachman et al.	
	39	6,618,662	9/9/2003	Schmitt et al.	
	40	6,627,345	9/30/2003	Zemlok et al.	
	41	6,678,972	1/20/2004	Naruse et al.	
	42	6,688,481	2/10/2004	Adner et al.	
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	46	6,823,835	11/30/2004	Dunsworth et al.	
	47	6,829,529	12/7/2004	Trefzer et al.	
	48	6,829,556	12/7/2004	Kumar	
	49	6,885,920	4/26/2005	Yakes, et al.	
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	51	6,941,218	9/6/2005	Wolf et al.	
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	53	2002-0190525	12/19/2002	Worden et al.	
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	59	11/131930		Watson	
	60	11/143252		Donnelly	
	61	11/411986		Donnelly	
	62	11/411987		Donnelly	
	63	11/412071		Donnelly	
	64	11/468235		Swan	
	65	11/551038		Pike	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> ; Number <sup>4</sup> ; Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	66	WO 05/084335	9/15/2005	RAILPOWER TECHNOLOGIES CORP.		D

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<i>Complete if Known</i>	
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				Filing Date	12-06-05
				First Named Inventor	Donnelly
				Art Unit	3746
				Examiner Name	Not yet assigned
Sheet	3	of	3	Attorney Docket Number	5107-15

	67	WO 2005/030550	4/7/2005	RAILPOWER TECHNOLOGIES CORP.		
	68	WO 2005/079504	9/1/2005	RAILPOWER TECHNOLOGIES CORP.		D
	69	WO 2005/086910	9/22/2005	RAILPOWER TECHNOLOGIES CORP.		D
	70	WO 2005/097573	10/20/2005	RAILPOWER TECHNOLOGIES CORP.		D
	71	WO05/114811	12/1/2005	RAILPOWER TECHNOLOGIES CORP.		D
	72	WO 2005/114810	12/1/2005	RAILPOWER TECHNOLOGIES CORP.		D
	73	WO 2006/020587	2/23/2006	RAILPOWER TECHNOLOGIES CORP.		D
	74	WO 2006/020667	2/23/2006	RAILPOWER TECHNOLOGIES CORP.		D
	75	WO 2006/028638	3/16/2006	RAILPOWER TECHNOLOGIES CORP.		D
	76	WO/2006/116479	11/2/2006	RAILPOWER TECHNOLOGIES CORP.		D

<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)</b>		
Examiner Initials*	Cite No. <sup>1</sup>	

Examiner Signature		Date Considered	
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